

Customer Number: 33-XZ-5745

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Jeffrey W. Pattee, et al.
Title: RACHET LOCKING BRAKE FOR MEDICAL DEVICES
Serial No.: 09/690,272
Art Unit: 3683
Filing Date: October 17, 2000
Examiner: Thomas J. Williams
Confirmation No.: 3671

INFORMATION DISCLOSURE STATEMENT

Mail Stop AF
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98.

- [X] 1. A list of documents on Form SB/08a together with copies of each identified document (other than U.S. patents and U.S. patent application publications unless required by the Office).

This paper is submitted in accordance with:

- [] 2. 37 CFR 1.97(b): [within three months of national, non-CPA filing, prior to first Office Action, on the merits, or prior to first office action after filing an RCE]

- [] 3. 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

- [] a. The required Certification made in item 5 below; or

- [] b. The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

By David Z. Petty
David Z. Petty

Date: 1/5/07

☒ 4. 37 CFR 1.97(d): [on or before issue fee payment]; and

a) The required Certification is stated in item 5 below; and

b) The \$180.00 fee specified in 37 C.F.R. 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

☒ 5. Certification

☒ a. Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or

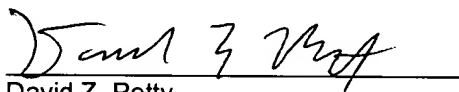
☐ b. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

☒ 6. Payment of all applicable fees:

☒ Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 070845.

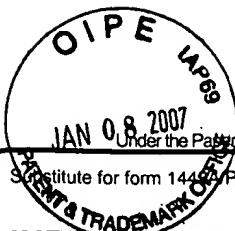
☐ Enclosed is a check in the amount of \$_____ in payment of all applicable fees associated with the submittal of this Information Disclosure Statement.

Respectfully submitted,



David Z. Petty
Reg. No. 52,119

McAndrews, Held & Malloy, Ltd.
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Substitute for form 1445A PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	09/690,272
Filing Date	October 17, 2000
First Named Inventor	Jeffrey W. Pattee
Art Unit	3683
Examiner Name	Thomas J. Williams
Attorney Docket Number	33-XZ-5745 (12939US01 MHM)

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-			
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FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
	1	JP63-150070A	06-22-1988			
	2	JP09-140692A	06-03-1997			
	3	JP06-005619U	01-25-1994			
	4	JP05-065315U	08-31-1993			
	5	JP06-048102A	02-22-1994			
	6	JP04-331602A	11-19-1992			
	7	JP49-009888A	01-28-1974			
	8	JP01-167212U	11-24-1989			

NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		PCT International Search Report PCT/US03/36255 (August 4, 2004)	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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